

SECTION J - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

ATTACHMENT 3 - REPORTING REQUIREMENTS

SECTION J - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

The following reports are required to be submitted by the Contractor. This list is subject to change at the discretion of the Contracting Officer (CO). Additionally, the distribution list and the content/format requirements for the reports will be determined by the CO. The form, format and level of detail of these reports shall not be substantially changed without the prior approval of the CO.

This list has been provided as the minimum reporting requirements and the omission of any reporting requirement of any applicable law or regulation, or DOE Directive (as provided in the S/RID) does not affect the obligation of the contractor to comply with such reporting requirement pursuant to the terms of the contract.

The Contractor is required to initially submit all reports no later than 180 days after contract award (includes transition period) unless a frequency date that is sooner than 180 days from contract award has been specified below. Reports specified as “as needed”, or “on request” are not included in the initial submission requirements.

Report Name	Driver	Frequency	Approval Required
General Management			
Management Plan (Contractor management approach values, objectives, policies, requirement statements, and other)	DOE-FEMP	At contract award then, as requested by DOE	CO Approval
Revised Project Baseline and certified cost and pricing data	Contract Clauses Section B and Section C SOW	Within 6 months following contract award	CO Approval
Staffing Analysis	Contract Clause Section H	Submit concurrently with the Revised Baseline; then, Semi-annually	CO Approval
Overtime Control Plan	Contract Clause Section H, O 350.1 Chg.1	Within 180 days of contract award, then annually by 11/01	CO Approval
Semiannual Report on Overtime Use	Contract Clause Section H, O 350.1 Chg. 1	Semi-annually 5/1; 11/1	CO Information
Notification of Increase to Minimum Insurance Amounts	Contract Clause Section H.	as needed	CO Notification

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Report Name	Driver	Frequency	Approval Required
Grievance Settlement Report (Rationale & dollars for each settled grievance)	DOE-FEMP	Monthly	CO Information
Contractors' Automated Office Support Strategy (AOSS) (Annual report)	Contract Clause, Section H	Annually by 10/15	CO Approval
Laboratory Utilization Plan (Annual projection of analytical service types and cost. Includes availability of qualified backup services from other lab providers)	Contract Clause Section H	Annually by 9/15 for next fiscal year	CO Approval
Small Business Subcontracting Plan (Previously known as Small, Small Disadvantaged and Women-owned Small Business Subcontracting Plan)	48 CFR 52.219-9 (FAR), Contract Clause Section H	Semi-annually 4/30; 10/30	CO Approval
Key Personnel List	Contract Clause Section H	Within 30 days of notification of contract award	CO Approval
Modifications to the Key Personnel List including justification	Contract Clause Section H	Prior to changes	CO Approval
Organizational Conflicts of Interest Update (Annual certification)	48 CFR 952.209-72 (DEAR)	Annually 1/15	CO Notification
Litigation Management Plan	Contract Clause, Section H.	Within 90 days of contract award.	CO Approval
Notification of Labor Disputes and all relevant information.	Contract Clause, Section I.	As required by clause.	CO Notification
Comprehensive Stewardship Plan	Ohio EPA	Within 180 days of contract award & following changes	CO Approval initially & following changes

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Report Name	Driver	Frequency	Approval Required
Contractor Travel Expenses Ceiling	Contract Clause, Section H	Annually prior to start of FY and prior to changes	CO Approval initially and following changes
Contract Close-Out Plan	Contract clause, Section F	Submit concurrent with letter declaring accomplishment of Site Completion	CO Approval
Report of Confidential/Proprietary Information	Contract clause, Section H	Upon request	CO Information
Schedule/Labor/Cost			
Make or Buy Plan	Contract clause, Section H	Within 180 days of contract award & prior to changes	CO Approval initially & prior to changes
Contractor Review of Make or Buy Plan	Contract clause, Section H	Annually	CO Notification
Annual Stores Inventory (Listing of stores inventory (printout))	DOE PMR 109-1.5110(f)(3) DOE-OH request 10/99	Annually by 10/15	CO Notification
Plant and Capital Equipment (Property Report) (Status of property under control of the contractor including purchases, disposals, and changes of status)	DOE PMR 109-1.5148	Semiannually 4/15; 9/15	CO Notification
Walk-through Inspection	DOE PMR 109-25.101-1(a)	Per PMR require.	CO Notification
Precious Metal Inventory (ORNL Business Center for Precious Metal Sales and Recovery)	DOE PMR 109-27.5104-4	Annually by 11/01	CO Notification

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Report Name	Driver	Frequency	Approval Required
Report of Exempted Motor Vehicles (Report of non-fleet vehicles)	FPMR 41CFR101-38.204-4 DOE PMR 109-38.204-4	On request	CO Notification
Agency Report of Motor Vehicle Data (Motor Vehicle data/Truck data Report)	FPMR 41CFR101-38.903 DOE PMR 109-38.903	Annually by 9/30	CO Notification
Motor Vehicle Annual Forecast	DOE PMR 109-38.1306	Annually by 11/15	CO Notification
Excess Personal Property Furnished to Non-Fed Recipients (Report of property excessed)	FPMR 41CFR101-43.4701(c) DOE PMR 109-43.4701(c)	Annually by 10/15	CO Notification
Negotiated Sales Report (Report of sale of negotiated surplus property)	FPMR 41CFR101-45.4702 DOE PMR 109-45.4702	Annually by 10/15	CO Notification
Quarterly Report on Sale of Property	DOE-OH request 10/99	Quarterly 1/31 for 1 st Qtr. 4/30 for 2 nd Qtr. 7/31 for 3 rd Qtr. 10/31 for end of FY	CO Notification
Physical Inventory of Equipment	DOE PMR 109-1.5110(f)(1)	Annually by 10/15	CO Notification
Physical Inventory of Sensitive Items	DOE PMR 109-1.5110(f)(2)	Annually by 10/15	CO Notification
Termination Inventories	FAR, Part 45 subpart 45.508	Annually by 10/15	CO Notification

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Report Name	Driver	Frequency	Approval Required
Performance Measurement			
Maintenance Performance Indices Report (Status of Work Orders)	DOE 4330.4B	Quarterly	CO Information
IPEX acceptance or proposal for alternative	Contract clause, Section H.	Within 120 days of award	CO Approval
Finance			
Annual Activity Report for Internal Audit (Annual report of audit activities with a copy to the cognizant Office of Inspector General)	DEAR 970.5204-9(h), DOE Acquisition Guide, Cooperative Audit Strategy	Annually by 1/31	CO Information
Annual Audit Plan (Audit plan for the contractor's internal audit group for each ensuing fiscal year)	DEAR 970.5204-9(h), DOE Acquisition Guide, Cooperative Audit Strategy	Annually by 5/30	CO Information
Financial Reports in support of Annual Financial Statement demonstrating compliance with Generally Accepted Accounting Principles (GAAP)	Financial Accounting Standards Board; GAAP; Contract Clause, Section H	On request	CO Information

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Report Name	Driver	Frequency	Approval Required
Technical - Environmental Compliance			
Consent Agreement/Federal Facility Compliance Agreement/Federal Facility Agreement and Remedial Investigation/Feasibility Study Monthly Progress Report (Report of significant activities completed during the preceding month. Quarterly provides status of implementation of remedial activities and specific effluent radionuclide data)	ACA, FFCA, FFA-CARE	Monthly and Quarterly	COR Approval
SARA 312 Annual Report (Emission discharges and releases of toxic chemicals, waste minimization and pollution prevention data)	OAC 3745-30	Annually	CO Information
SARA 313 Annual Report (Inventory of Toxic Chemicals)	EO 12856	Annually	CO Information
NPDES Discharge Monitoring Report (Monthly waste water discharge data, flow data, and concentrations of non-radioactive pollutants)	OAC 3745-33	Monthly	CO Information
NPDES Noncompliance Reports (Description of exceedances from permitted discharge limits, causes, and corrective actions)	NPDES Permit	As needed	CO Information
Annual NESHAP Report (Radionuclide air emission data, description of emission sources, and dose to offsite residents)	40 CFR 61	Annually	CO Information

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Report Name	Driver	Frequency	Approval Required
Annual Chief Financial Officer's Report on the DOE Federal Facility Compliance Act	FFCA	Annually	COR Approval
Federal Facility Compliance Agreement (FFCA) Quarterly Report (Requirements and time schedules as well as reasons for delays and actions taken)	FFCA	Quarterly	COR Approval
Part A & B Permit Applications (Description of inventory and management of hazardous waste)	EPA Director's Findings & Orders (DF&O)	As required by DF&O	COR Approval
RCRA Annual Report (#49) (Description of inventory and management of hazardous waste)	OAC 3745-52-41 OAC 3745-65-75	Annually	COR Approval
RCRA Annual Groundwater Monitoring Report (Summary of RCRA groundwater monitoring activities and data interpretation)	OAC 3745-65-90 Consent Decree DF&O 9/10/93	Annually	COR Approval
Notice of Violation (NOV) Status Report (Update of Notices of Violations and Warning Letters from regulatory agencies)	DOE Ltr. EH-22	Semi-annually	CO Notification
Affirmative Procurement Report (Volume of products containing recoverable materials purchased in previous CY)	40 CFR 247 E.O. 13101	Quarterly as requested by DOE-HQ	CO Notification

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Report Name	Driver	Frequency	Approval Required
Annual Report of Waste Generated and Pollution Prevention Progress (Reports volumes and types of waste generated in the previous CY)	DOE 5400.1	Annually March	COR Approval
Poly-Chlorinated Biphenyl (PCB) Annual Report (Report of PCBs)	FFCA 40 CFR 761	Annually 11/1	COR Approval
Poly-Chlorinated Biphenyl (PCB) Annual Document Log (Log of PCBs)	TSCA	Annually 7/1	COR Approval
Annual Site Environmental Report (Restoration of water, land and air pathways at FEMP; health hazards associated with radiation or radioactive materials; state, federal, local, and DOE compliance status, issues, and permits to meet the objectives of CERCLA, RCRA, CAA, and CWA)	DOE O 231.1, Chg. 2	Annually	COR Approval
Radioactive Effluent Information System/Onsite Discharge Information System (EIS/ODIS) Report (Provides input to EIS/ODIS system for previous calendar year radioactive air/liquid effluent discharges. Uses DOE F 5821.1 "Radioactive Effluent/On-site Discharges/Unplanned Releases")	DOE 5484.1, Chg. 7 Attachment 12	Annually	CO Information
Awareness Plan	DOE 5400.1	Every 3 rd year in May	CO Information
Fuel Usage & Analysis Report (Summary of daily amount of fuel oil combusted and fuel analysis)	Ohio EPA Permits	Quarterly	CO Information

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Report Name	Driver	Frequency	Approval Required
Human Resources			
Advance Understandings on Human Resources Policies and Systems	Contract Clause, Section H.	Within 30 days of notification of contract award	CO Approval
Total Annual Reimbursed Compensation	Contract Clause, Section H.	Within 30 days of notification of contract award and upon changes	CO Approval
Salary Plan	DOE O 350.1 Chg.1	Within 30 days of notification of contract award; annually thereafter	CO initial approval; annually thereafter
Relocation Plan (temporary and permanent relocations)	Contract clause, Section H.	Within 30 days of notification of contract award	CO Advance Approval
Application for Contractor Compensation Approval (Instances outside the Salary Plan) (Requests Contracting Officer's approval of employee compensation >\$100,000)	DOE O 350.1 Chg.1	As needed	CO Approval
Report of Compensation (Report of subtotal dollar amounts for exempt and nonexempt employees and individual compensation at \$100,000 and above)	DOE O 350.1 Chg.1	Semi-annually 4/15; 10/15	CO Approval

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Report Name	Driver	Frequency	Approval Required
Contractors Report of Frequency Distribution Compensation (Submitted with Report of Compensation) (only those instances outside the Salary Plan) (Report of frequency distribution of employee compensation)	DOE O 350.1 Chg.1	Semi-annually	CO Approval
Report of Contractor Expenditures for Employee Supplementary Compensation (Break down of employee benefit compensation)	DOE O 350.1 Chg.1	Annually by 3/1	CO Approval
Contractor Benefit Plan	Contract clause, Section H	30 days after contract award & following changes	CO Approval
Contractor Salary-Wage Increase Expenditure (Reports breakouts for merit, promotion variable pay, special adjustments, and structure movements for each pay structure)	DOE O 350.1 Chg.1	30 days after program year	CO Approval
Revised Wage Determination (Service Contract Act)	DOL 94-2413, 99-428, Contract Clause Section H.	For contract incorporation every 2 years minimum	CO Information
Equal Opportunity SF100 (EEO-1)	41 CFR 60-2.14 48 CFR 52.222-26 (FAR)	Annually, 30 days after APP year	CO Information
Employment Reports for Disabled Veterans and Veterans of the Vietnam Era (Federal Contractor Veterans' Employment Report VETS-100)	41 CFR 60-250.10 48 CFR 52.222-37(FAR)	Annually, 30 days after AAP year	CO Information

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Report Name	Driver	Frequency	Approval Required
Annual Accounting of Employee Savings Plan (Report of total value and reconciliation of employee savings plan)	DOE O 350.1 Chg.1	Annually by 3/1	CO Information
Contractor Manpower (COCS) (Report of Common Occupational Classification System breakdown)	DOE O 350.1 Chg.1	Annually by 3/1	CO Information
Actuarial Certification and Employer Certification (sponsor/participating employer in FEMP pension plan)	Contract clause, Section H.	Upon notification of contract award; then, annually	CO Notification
Actuarial Valuation Reports (Report of annual actuarial valuation report for each DOE-reimbursed pension plan)	DOE O 350.1 Chg.1	Annually last day of plan	CO Notification
Form 5300 (Part of tax return submitted to the IRS that document the establishment, amendment, termination, spin-off, or merger of a plan)	DOE O 350.1 Chg.1	As required	CO Notification
Form 5500 (Part of tax returns submitted to the IRS for each DOE-funded pension plan)	DOE O 350.1 Chg.1	Annually last day of plan	CO Notification
Semi-annual Davis Bacon Act Enforcement Report (Report of Davis-Bacon employment and wages)	29 CFR Part 5.7(b) 48 CFR 52.222-6 (FAR)	Semi-Annually	CO Notification
Notification of Collective Bargaining Negotiations	DOE-FEMP	During early negotiations well in advance of settlement	CO Notification

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Report Name	Driver	Frequency	Approval Required
Collective Bargaining Agreements	DOE O 350.1 Chg.1	ASAP after conclusion of negotiation	CO Notification
Report of Settlement (Provides the Contracting Officer with a settlement summary after formal ratification of a collective bargaining agreement)	DOE O 350.1 Chg.1	30 days after contract settlement.	CO Notification
Report of Contractor Employment	DOE O 350.1 Chg.1	Quarterly 1/10; 4/10; 7/10; 10/10	CO Information
DOE Contractor Employment Distribution by Program (Submitted with Report of Contractor Employment)	DOE O 350.1 Chg.1	Quarterly 1/10; 4/10; 7/10; 10/10	CO Information
Headcount Report (For the Office of Worker and Community Transition, WT-1)	OIG Audit Report	Monthly	CO Information
Technical - Safeguards & Security			
Computer Protection Plan (Annual computer protection plan)	DOE N 205.1	60 days after contract award then, Annually	CO Information
Security Incident Reports (DOE F 471.1)	DOE-HQ/OSA & OSEO memorandum 10/18/99	In accordance with memo specified criteria and frequency until DOE O 471.3 is issued.	CO Notification
Protective Force Cost/Strength Report (Tally of protective force)	NN 513.1/DOE-HQ Ltr June 20, 1997	Quarterly	CO Information

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Report Name	Driver	Frequency	Approval Required
Normal Operating Losses of Nuclear Material Summary Report (sent with inventory reports to DOE-OH) (Semi-annual losses of nuclear materials to the environment)	DOE O 474.1	Semi-annually 1/15; 7/15	CO Information
Quarterly Shipper-Receiver Difference Report DP-741 (to DOE-OH) (Summary of external shipment and receipt information (summary of DP 741 activities))	DOE O 474.1	Quarterly 1/15; 4/15; 7/15; 10/15	CO Information
Overall Accountability Analysis Report (to DOE-OH) (Summary of nuclear materials activity from plant startup)	DOE O 474.1	Annually 1/15	CO Information
Report on Nuclear Material Book Inventory (to DOE-OH) (Annual report of material (to DOE-OH))	DOE O 474.1	Annually 7/15	CO Information
Certification of Nuclear Material Inventory (DOE Form 742) (Inventory certification sent to DOE-OH when received from NMMSS (computer printout))	DOE O 474.1	Semi-annually	CO Information
ADP Transcription Sheet Internal Project Transfers DP749 (to NMMSS) (Internal project transfers (data file))	DOE O 474.1	As needed	CO Information
Nuclear Material Transaction Journal ADP Transcription Sheet DP-740 (Receipts or shipments, monthly close (data file))	DOE O 474.1	As needed	CO Information

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Report Name	Driver	Frequency	Approval Required
Material Control & Accountability: Normal Operating Losses (to NMMSS) (Monthly list of materials (data file))	DOE O 474.1	Monthly by 15th	CO Information
Nuclear Material Transaction Report DOE/NRC 741 (to receiver, NMMSS, and DOE-OH) (Monthly nuclear materials transactions transfer form)	DOE O 474.1	Each shipment	CO Information
Report of Nuclear Material Physical Inventory (to DOE-OH) (Annual report of nuclear materials ending inventory- Category IV materials only)	DOE O 474.1	Annually 1/15	CO Information
Category of Inventory Data Input (CIDI) Inventory Monthly Ending Inventory (to NMMSS) (Inventory of nuclear materials by category)	DOE O 474.1	Monthly by 15th	CO Information
Technical - Safety and Health			
Individual Accident/Incident Report (DOE F 5484.3) (Number of new and revised Individual Accident/Incident reports)	DOE O 231.1 Chg.2	Monthly by 10 th	CO Information
Annual Summary of Fire Damage (Includes lost data, testing completed, on site improvements, and deficiencies noted)	DOE O 231.1 Chg.2	Annually	CO Information

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Report Name	Driver	Frequency	Approval Required
Tabulation of Work Hours and Vehicle Usage and Property Valuation (DOE F 5484.4) (Tabulation of Work Hours and Vehicle Usage and Property Valuation)	DOE O 231.1 Chg.2	Quarterly 3/20; 6/20; 9/20; 12/20	CO Information
Annual Exposure Data Reporting (Radiation Exposure Information System Report)	DOE 231.1, Chg. 2	Annually by 3/31 for the preceding year	CO Information
PAAA Tracking System or Status Reports	Contract Clause, Section H	On request	CO Information
Update of the Integrated Safety Management System (ISMS) Description Document	Contract Clause Section I, DEAR 48CFR970.5204-2	As soon as is practical, but no later than 1/31/2001 then; Annually by 3/6	CO Review and Approval.
Review/Update of ISMS Safety Performance Objectives/Measures/Commitments	DEAR 48CFR970.5204-2	As soon as is practical, but no later than 1/31/2001 then; Annually by 3/6	CO Approval
Acceptance of existing Radiological Protection Plan (RPP)	10CFR835	At contract award	CO Information
Submit Contractor Radiation Protection Plan (RPP) to DOE for approval	10CFR835	No later than 90 days after contract award	CO Approval
Proposed changes to the Contractor Site Radiological Control Manual (RCM)	Contract requirement	within 90 days of contract award; Annual update by 3/6	CO Approval
A tabulation of the Contractor Site Radiological Control Manual (RCM) changes (Article 113 determinations)	Contract requirements	By 1/31 for the previous calendar year	CO Approval

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Report Name	Driver	Frequency	Approval Required
Acceptance of existing Quality Assurance Plan	10CFR830.120	At contract award	CO Information
Submit Contractor Quality Assurance Plan to DOE for approval	10CFR830.120	No later than 90 days after contract award	CO Approval
Workplace Substance Abuse Program consistent with 10CFR Part 707	48 CFR 970.5204-57 (DEAR)	Within 30 days after notification of selection of award, or award of a contract, whichever occurs first.	CO Approval
Authorization Agreement Certification (Contractor letter to DOE-FEMP certifying the annual review of the Authorization Agreement is complete & updated as necessary.)	Authorization Agreement	Annually by 9/30	CO Information